StoneX Financial, Inc. - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2020

October 2020

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	72.03	8.56	15.94	3.47

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
UBS Securities, LLC	75.38	83.46	49.48	51.81	79.94	0.00	0.0000	0.00	0.0000	283.04	5.1866	37.59	3.8076
Citadel Execution Services	10.35	10.54	10.34	9.41	10.60	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	4.40	0.22	8.83	21.82	0.29	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	3.26	1.50	12.78	6.42	1.72	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	2.48	3.04	0.35	0.44	5.73	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	1.55	0.40	7.55	3.68	0.86	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	1.54	0.23	9.06	3.74	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	1.00	0.61	1.63	2.68	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Goldman, Sachs & Co.	0.03	0.00	0.00	0.00	0.86	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

UBS Securities, LLC:
SFI received payment for order flow at rate of .00265 per share from this venue in non-marketable limit orders and other orders.

Citadel Execution Services:

SFI did not receive payment for order flow from this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow from this venue for this period.

October 2020

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	40.30	12.83	43.10	3.77

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
UBS Securities, LLC	50.85	82.57	76.34	13.65	50.33	0.00	0.0000	0.00	0.0000	3,095.37	3.6368	197.08	2.1448
JP Morgan Securities, LLC	32.34	0.54	5.10	72.33	7.80	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citadel Execution Services	6.23	11.95	6.16	0.47	11.04	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	4.28	0.96	2.68	7.17	12.29	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	2.61	0.62	5.54	3.61	2.58	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	1.76	0.38	3.20	2.55	2.58	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	1.56	2.69	0.00	0.07	11.85	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Morgan Stanley & Co., LLC	0.32	0.30	0.97	0.15	0.22	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Goldman, Sachs & Co.	0.05	0.00	0.00	0.00	1.32	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

UBS Securities, LLC:
SFI received payment for order flow at rate of .00265 per share from this venue in non-marketable limit orders and other orders.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow from this venue for this period.

Citadel Execution Services:
SFI did not receive payment for order flow from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow from this venue for this period.

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow from this venue for this period.

Goldman, Sachs & Co.:
SFI did not receive payment for order flow from this venue for this period.

October 2020

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	51.95	24.17	23.88	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Matrix Executions, LLC	85.63	87.37	87.67	79.78	0.00	589.72	12.0106	7,321.11	11.5570	2,360.59	8.5529	18,809.35	12.3593

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Citadel Execution Services	11.24	12.35	8.05	12.07	0.00	3.00	10.0000	1,874.20	10.4610	983.15	11.0615	1,377.90	11.9609
BofA Securities, Inc.	3.12	0.28	4.27	8.15	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Matrix Executions, LLC:
SFI received payment for order flow in Options at a rate of 0.035 per executed contract from this venue.
SFI will receive pass through $0.07 rebate on QCC crosses executed on BOX floor only when rebate is received by Matrix from the BOX exchange.
SFI did not receive payment for order flow in trades involving Index Options.

Citadel Execution Services:
SFI received payment for order flow at a rate of 0.10 per executable contract in options that traded in penny increments.
SFI received payment for order flow of 0.25 per executable contract in all other equity options.
SFI did not receive payment for order flow in trades involving Index Options

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

November 2020

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	73.26	4.86	18.43	3.45

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
UBS Securities, LLC	80.17	86.71	74.71	59.10	61.66	0.00	0.0000	0.00	0.0000	396.82	22.4254	49.16	3.6062
Citadel Execution Services	7.11	7.41	9.32	2.81	20.64	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	5.43	0.04	7.79	27.22	0.27	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	3.56	3.77	0.38	1.90	12.33	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	1.88	0.61	5.32	6.42	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
BofA Securities, Inc.	1.21	0.91	1.90	1.50	5.09	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.40	0.24	0.57	1.05	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.23	0.32	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

UBS Securities, LLC:
SFI received payment for order flow at rate of .00265 per share from this venue in non-marketable limit orders and other orders.

Citadel Execution Services:
SFI did not receive payment for order flow from this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow from this venue for this period.

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow from this venue for this period.

November 2020

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	22.71	21.45	54.59	1.26

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
JP Morgan Securities, LLC	47.04	0.19	2.51	85.03	3.38	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	45.04	90.69	92.38	7.20	56.08	0.00	0.0000	0.00	0.0000	4,594.64	17.2237	342.42	3.1367
Citadel Execution Services	2.29	6.18	1.90	0.33	23.65	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	2.26	0.36	1.87	3.18	3.27	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	2.25	0.59	0.74	3.37	9.68	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.49	0.17	0.37	0.68	0.45	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	0.43	1.65	0.05	0.02	2.48	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.18	0.18	0.17	0.18	0.45	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Goldman, Sachs & Co.	0.01	0.00	0.00	0.00	0.56	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

JP Morgan Securities, LLC:
SFI did not receive payment for order flow from this venue for this period.

UBS Securities, LLC:
SFI received payment for order flow at rate of .00265 per share from this venue in non-marketable limit orders and other orders.

Citadel Execution Services:
SFI did not receive payment for order flow from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow from this venue for this period.

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow from this venue for this period.

Goldman, Sachs & Co.:
SFI did not receive payment for order flow from this venue for this period.

November 2020

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	47.34	20.04	32.62	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Matrix Executions, LLC	93.83	99.74	91.95	86.40	0.00	969.47	12.1747	8,853.95	10.4061	7,994.88	10.9014	11,997.48	12.1866
Citadel Execution Services	3.75	0.09	3.82	9.02	0.00	0.00	0.0000	478.35	11.1895	421.15	11.0596	0.00	0.0000
BofA Securities, Inc.	2.42	0.17	4.23	4.57	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Matrix Executions, LLC:
SFI received payment for order flow in Options at a rate of 0.035 per executed contract from this venue.
SFI will receive pass through $0.07 rebate on QCC crosses executed on BOX floor only when rebate is received by Matrix from the BOX exchange.
SFI did not receive payment for order flow in trades involving Index Options.

Citadel Execution Services:
SFI received payment for order flow at a rate of 0.10 per executable contract in options that traded in penny increments.
SFI received payment for order flow of 0.25 per executable contract in all other equity options.
SFI did not receive payment for order flow in trades involving Index Options

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

December 2020

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	84.14	3.63	9.27	2.97

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Citadel Execution Services	73.61	77.19	57.44	51.43	61.02	879.99	10.0000	49.20	10.0004	70.10	10.0006	60.29	9.9990
UBS Securities, LLC	15.97	15.42	17.23	19.53	18.85	702.98	9.9858	274.89	10.0604	177.81	22.6164	99.16	10.7226
Citigroup Global Markets Inc.	4.51	4.54	2.61	5.21	3.83	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	3.54	2.16	12.27	12.17	5.11	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	1.36	0.07	7.05	8.59	8.63	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	0.85	0.60	1.83	2.45	1.92	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.09	0.01	0.78	0.61	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.06	0.01	0.78	0.00	0.64	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Citadel Execution Services:
SFI received payment for order flow at a fixed rate of $0.0010 per share from this venue for this period

UBS Securities, LLC:
SFI received payment for order flow at a fixed rate of $0.0010 per share from this venue for this period

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow from this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow from this venue for this period.

December 2020

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	56.65	13.28	27.73	2.34

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Citadel Execution Services	44.29	64.00	19.50	15.28	51.58	10,452.25	9.9022	1,182.49	7.5482	690.17	9.4826	39.16	4.8112
UBS Securities, LLC	32.54	32.25	62.14	19.59	24.97	6,982.13	9.3692	7,783.89	9.5299	4,699.42	18.1060	1,329.88	11.0376
JP Morgan Securities, LLC	12.86	1.18	10.38	38.06	11.32	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	4.69	0.23	2.51	14.85	4.78	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	3.69	0.13	4.53	10.51	4.43	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	1.19	2.00	0.02	0.09	1.17	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.37	0.08	0.51	0.87	0.70	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.37	0.14	0.41	0.76	1.05	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Citadel Execution Services:
SFI received payment for order flow at a fixed rate of $0.0010 per share from this venue for this period.

UBS Securities, LLC:
SFI received payment for order flow at a fixed rate of $0.0010 per share from this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow from this venue for this period.

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow from this venue for this period.

December 2020

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	48.59	14.67	36.74	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Matrix Executions, LLC	93.75	99.34	84.18	90.18	0.00	966.57	12.7013	6,498.08	13.7849	19,350.36	15.3762	13,236.79	12.2719
BofA Securities, Inc.	5.00	0.59	13.63	7.39	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citadel Execution Services	1.25	0.07	2.19	2.43	0.00	0.00	0.0000	57.65	11.3261	83.20	12.5870	0.00	0.0000

Material Aspects:

Matrix Executions, LLC:
SFI received payment for order flow in Options at a rate of 0.035 per executed contract from this venue.
SFI will receive pass through $0.07 rebate on QCC crosses executed on BOX floor only when rebate is received by Matrix from the BOX exchange.
SFI did not receive payment for order flow in trades involving Index Options.

BofA Securities, Inc.:
SFI did not receive payment for order flow from this venue for this period.

Citadel Execution Services:
SFI received payment for order flow at a rate of 0.10 per executable contract in options that traded in penny increments.
SFI received payment for order flow of 0.25 per executable contract in all other equity options.
SFI did not receive payment for order flow in trades involving Index Options